

Rev. 10/01

Attorney Docket No. CF/024

Applicant : Andrew H. Pritchard

Application No.: 09/927,628

Confirmation No.: 5363

Filed : August 10, 2001

For : SYSTEMS AND METHODS FOR DEVELOPING AND  
ADMINISTERING INVESTMENT TRUSTS

Group Art Unit : 2162

Examiner : Not Yet Assigned

Received  
NOV 08 2001  
Technology Center 2100

New York, New York  
November 7, 2001

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

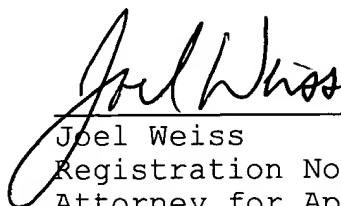
Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This Statement is  
submitted:

- [X] within three months of the application filing date;
- [ ] more than three months from the application filing  
date but before the mailing date of the first  
Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this  
Statement requires no fee. However, if for any reason a fee is  
due, the Director is hereby authorized to charge payment of any

fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

A handwritten signature in cursive script, reading "Joel Weiss", is written over a horizontal line.

Joel Weiss  
Registration No. 44,398  
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Andrew H. Pritchard  
Application No.: 09/927,628 Confirmation No.: 5363  
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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. Patent Documents

Cleveland et al.	3,976,840	08/24/76
Braddock, III	4,412,287	10/25/83
Kalmus et al.	4,674,044	06/16/87
Nelson	4,823,265	04/18/89
Lupien et al.	5,101,353	03/31/92
Champion et al.	5,126,936	06/30/92
Fox	5,132,899	07/21/92
Kosaka et al.	5,161,103	11/03/92
Baird et al.	5,220,500	06/15/93
Kosaka et al.	5,267,148	11/30/93
Higgins	5,270,922	12/14/93
Lozman	5,689,651	11/18/97
Coussens et al.	5,761,661	06/02/98
Kolton et al.	5,778,357	07/07/98

Kiron et al.	5,806,048	09/08/98
Cwenar	5,893,079	04/06/99
Tull, Jr. et al.	5,946,667	08/31/99
Keiser et al.	5,950,176	09/07/99

#### Foreign Patent Documents

PCT	WO 98/49639	11/05/98
PCT	WO 99/01983	01/14/99
PCT	WO 00/26745	05/11/00

#### Other Documents

Standard & Poor's Depository Receipts® ("SPDRs")®, SPDR Trust, Series 1, A Unit Investment Trust, prospectus dated 4/25/96..

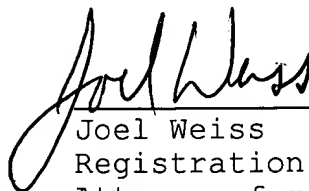
Jinny St. Goar, "Weaving WEBS and Baskets," from the Internet at <http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html>, printed on 8/2/00.

These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Applicant timely submits this Information Disclosure Statement within three months of the filing date of the application, and, therefore, pursuant to 37 C.F.R. § 1.97(b)(1), it is believed that no fee is required in connection with this Information Disclosure Statement.

Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Joel Weiss", is written over a horizontal line.

Joel Weiss  
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Attorney for Applicant  
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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF/024	SERIAL NO. 09/927,628
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICANT Andrew H. Pritchard	
		FILING DATE August 10, 2001	GROUP 2162

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,976,840	08/24/76	Cleveland et al.	179	2	
	4,412,287	10/25/83	Braddock, III	364	408	
	4,674,044	06/16/87	Kalmus et al.	364	408	
	4,823,265	04/18/89	Nelson	364	408	
	5,101,353	03/31/92	Lupien et al.	364	408	
	5,126,936	06/30/92	Champion et al.	364	408	
	5,132,899	07/21/92	Fox	364	408	
	5,161,103	11/03/92	Kosaka et al.	364	408	
	5,220,500	06/15/93	Baird et al.	364	408	
	5,267,148	11/30/93	Kosaka et al.	364	408	
	5,270,922	12/14/93	Higgins	364	408	
	5,689,651	11/18/97	Lozman	395	237	
	5,761,661	06/02/98	Coussens et al.	707	9	
	5,778,357	07/07/98	Kolton et al.	707	2	
	5,806,048	09/08/98	Kiron et al.	705	36	
	5,893,079	04/06/99	Cwenar	705	36	
	5,946,667	08/31/99	Tull, Jr. et al.	705	36	
	5,950,176	09/07/99	Keiser et al.	705	37	

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 98/49639	11/05/98	PCT	G06F	17/60		
	WO 99/01983	01/14/99	PCT	H04N	7/14		X
	WO 00/26745	05/11/00	PCT	G06F			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Standard & Poor's Depository Receipts® ("SPDRs")®, SPDR Trust, Series 1, A Unit Investment Trust, prospectus dated 4/25/96.
	Jinny St. Goar, "Weaving WEBS and Baskets," from the Internet at <a href="http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html">http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html</a> , printed on 8/2/00.

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